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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 41144-8002US

First Inventor Rung-Ji Shang

Title RAID-5 DISK HAVING CACHE MEMORY

Express Mail Label No. EV335523978US

03945 U.S. PTO
10/688559



APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 10]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages 4]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: _____ / _____

Prior application information: Examiner _____

Group / Art Unit: _____

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

☒ Claims the benefit of **US Provisional Application No. 60/424,190 filed 11/06/2002**

17. CORRESPONDENCE ADDRESS

☒ Customer Number

25096

or ☐ Correspondence address below

PATENT TRADEMARK OFFICE

| | | | |
|-------------------|------------------|-----------------------------------|---------------|
| Name (Print/Type) | David T. Dutcher | Registration No. (Attorney/Agent) | 51,638 |
| Signature | | Date | Oct. 17, 2003 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231.



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| | | | |
|--|--|--------------------------|---------------|
| FEE TRANSMITTAL for FY 2003 <i>Effective 10/01/2003. Patent fees are subject to annual revision.</i> | | Complete if Known | |
| | | Application Number | |
| | | Filing Date | 10/17/2003 |
| | | First Named Inventor | Rung-Ji Shang |
| | | Examiner Name | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 | | Art Unit | |
| TOTAL AMOUNT OF PAYMENT (\$) 425.00 | | Attorney Docket No. | 41144-8002US |

| | | | | | | | |
|--|--|---|----------|----------|----------|--|------------------------------------|
| METHOD OF PAYMENT (check all that apply) | | FEE CALCULATION (continued) | | | | | |
| <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None Order | | 3. ADDITIONAL FEES | | | | | |
| <input type="checkbox"/> Deposit Account: Deposit Account Number 50-0665 Deposit Account Name | | Large Entity Small Entity | | | | | |
| The Commissioner is authorized to: (check all that apply) | | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
| <input type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments | | 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application | | 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account. | | 1053 | 130 | 1053 | 130 | Non-English Specification | |
| | | 1812 | 2,520 | 1812 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| | | 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| | | 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action | |
| | | 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| | | 1252 | 420 | 2252 | 210 | Extension for reply within second month | |
| | | 1253 | 950 | 2253 | 475 | Extension for reply within third month | |
| | | 1254 | 1,480 | 2254 | 740 | Extension for reply within fourth month | |
| | | 1255 | 2,010 | 2255 | 1,005 | Extension for reply within fifth month | |
| | | 1401 | 330 | 2401 | 165 | Notice of Appeal | |
| | | 1402 | 330 | 2402 | 165 | Filing a brief in support of an appeal | |
| | | 1403 | 290 | 2403 | 145 | Request for oral hearing | |
| | | 1451 | 1,510 | 1451 | 1,510 | Petition to institute a public use proceeding | |
| | | 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| | | 1453 | 1,330 | 2453 | 665 | Petition to revive - unintentional | |
| | | 1501 | 1,330 | 2501 | 665 | Utility issue fee (or reissue) | |
| | | 1502 | 480 | 2502 | 240 | Design issue fee | |
| | | 1503 | 640 | 2503 | 320 | Plant issue fee | |
| | | 1460 | 130 | 1460 | 130 | Petitions to the Commissioner | |
| | | 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| | | 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| | | 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | 40 |
| | | 1809 | 770 | 2809 | 385 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| | | 1810 | 770 | 2810 | 385 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| | | 1801 | 770 | 2801 | 385 | Request for Continued Examination (RCE) | |
| | | 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |
| | | Other fee (specify) _____ | | | | | |
| | | *Reduced by Basic Filing Fee Paid | | | | | SUBTOTAL (3) (\$) 40 |

| | |
|-------------------------------------|--------------|
| 1. BASIC FILING FEE | |
| Large Entity | Small Entity |
| Fee Code | Fee Code |
| Fee (\$) | Fee (\$) |
| Fee Description | Fee Paid |
| 1001 770 | 2001 385 |
| 1002 340 | 2002 170 |
| 1003 530 | 2003 265 |
| 1004 770 | 2004 385 |
| 1205 160 | 2005 80 |
| SUBTOTAL (1) (\$) 385 | |

| | |
|--|-----------|
| 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE | |
| Total Claims | 7 |
| Independent Claims | 1 |
| Multiple Dependent | |
| Extra Claims | -20** = 0 |
| Fee from below | 0 |
| Fee Paid | 0 |
| SUBTOTAL (2) (\$) 0 | |

**or number previously paid, if greater; For Reissues, see above

| | | | |
|---------------------|------------------|-----------------------------------|---------------|
| SUBMITTED BY | | (Complete if applicable) | |
| Name (Print/Type) | David T. Dutcher | Registration No. (Attorney/Agent) | 51,638 |
| Signature | | Telephone | 206-359-8000 |
| | | Date | Oct. 17, 2003 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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